Office of Information Technology Services
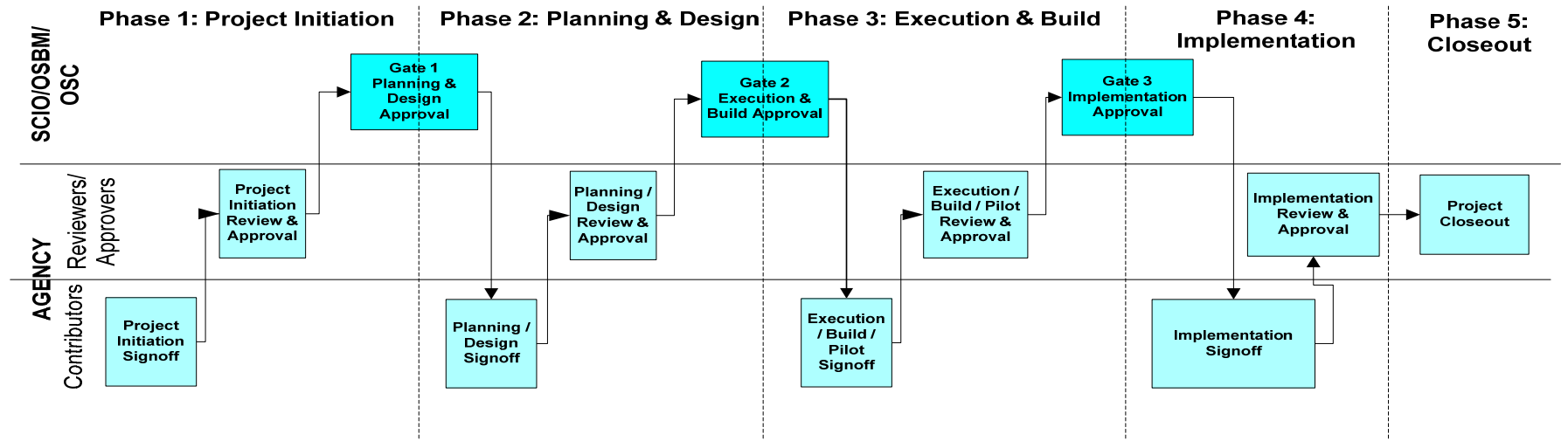
Project Portfolio Management Tool

PPM Workflow Frequent User's Guide for Projects >= $500,000

State of North Carolina PPM Workflow

	Phase 1: Project Initiation	Phase 2: Planning & Design	Phase 3: Execution & Build	Phase 4: Implementation	Phase 5: Closeout

SCIO/OSBM/OSC

Gate 1 Planning & Design Approval

Gate 2 Execution & Build Approval

Gate 3 Implementation Approval

AGENCY — Reviewers/Approvers

Project Initiation Review & Approval

Planning / Design Review & Approval

Execution / Build / Pilot Review & Approval

Implementation Review & Approval

Project Closeout

AGENCY — Contributors

Project Initiation Signoff

Planning / Design Signoff

Execution / Build / Pilot Signoff

Implementation Signoff

Phase 1: User Guide   Phase 2: User Guide   Phase 3: User Guide   Phase 4: User Guide   Phase 5: User Guide

Project Approval Workflow

The entire workflow must be completed for projects costing over $500,000. Projects are approved for one workflow phase at a time and are required to return for State Chief Information Office (SCIO) approval before the end of each phase. Projects between $100,000 and $500,000 must receive approval from Statewide Approvers, but not the State Chief Information Officer. Projects under $500,000 are then "registered" for the remainder of the project. Projects under $100,000 must be approved at the agency level only.

Project Approvers

Contributor
Contributor (typically the Project Manager) enters required information into the PPM tool and signs off signifying that the project is ready to move forward to the next phase.

Agency Approver
Agency Approver (typically the agency CIO and/or CFO) must formally "approve" the project in order for it to move to the state approval stage. Approvers have the opportunity to add comments when they approve/reject it. After all of the approvers have responded to the submission, if any of the approvers "reject" the project, it moves back to the previous stage and the project manager/contributor receives notification of the rejection.

Statewide Approvers
All statewide approvers must formally "approve" the project in order for it to move to the State Chief Information Officer (SCIO) approval stage. Approvers have the opportunity to add comments when they approve/reject the project and to enter information on the "Issues and Risks" tab. The Statewide Approvers include the Director of the Enterprise Project Management Office, Enterprise Technical Architecture Group, Enterprise Security Group, Office of State Budget and Management, and the Office of the State Controller.

State Chief Information Officer

The State Chief Information Officer and Deputy State Chief Information Officer must formally "approve" the project at each gate. The SCIO and Deputy SCIO have the opportunity to add comments when they approve/reject the project and to enter information on the "Issues and Risks" tab.

Project Approval Phases

Phase 1: Initiation
During the Initiation phase, a high level plan for the project is created.

Phase 2: Planning and Design
During the Planning and Design phase, detailed plans, schedules and budgets are created.

Phase 3: Execution and Build
During the Execution and Build phase, the project deliverables are created.

Phase 4: Implementation
During the Implementation phase, the project is rolled-out.

Phase 5: Closeout
During the Closeout phase, the Closeout Review document and Lessons Learned document are created.

PPM Workflow Phase 1: Project Initiation
Initiation Exit Criteria and Planning and Design Entrance Criteria
SCIO Required

Required Data	Instructions	Location in PPM Tool
Business Issues	Describe what business factors led to the proposal of this project. These may be issues (i.e. any matters that require resolution), opportunities (e.g. potential for improved service or reduced cost) or mandates (e.g. state or federal).	Project Info tab, Business Issues
Business Goals	Describe what this project will achieve at a business level. The Business Goals specifically define those outcomes through which the Project Mission will be accomplished. A single project may have multiple Business Goals.	Project Info tab, Business Goals
Project Goals	Describe the project goals. The project goal is delivery of a product that will allow achievement of the business goal	Project Info tab, Project Goals
Project Deliverables	Describe the project deliverables. Products or services that will result from work on this project.	Project Info tab, Project Deliverables
Items Out of Scope	Define what is out of scope for this project. Eliminate ambiguity or uncertainty by specifically stating any defined exclusions.	Project Info tab, Items Out of Scope
Proposed Strategy	Describe the strategy this project will take from Initiation to Implementation. The proposed strategy may be viewed as a preliminary, high-level work plan – a summary of the major tasks to be performed and a brief explanation of how each task will be executed.	Project Info tab, Proposed Strategy
High Level Assumptions / Constraints	List any Assumptions and Constraints that may affect the project.	Project Info tab, High Level Assumptions / Constraints
Key Dependencies external to the project	List any dependencies external to this project that will have a direct impact to the cost, schedule or resources of this project. Is the success of this project dependent upon delivery of some product or service that is outside the control of the project team? Is any other project depending upon the timely delivery of a product or service from this project? If yes, list them here.	Project Info tab, Key Dependencies external to the project
Project Organization and Roles	List individuals and groups involved in the project along with their roles. If you have created an Org Chart, please attach it to the Document Management tab and reference the document here.	Project Info tab, Project Organization and Roles
Initiation Phase Budget	Enter the estimated cost of the Initiation Phase for this project. This is the same number	Project Info tab, Initiation Phase Budget

Required Data	Instructions	Location in PPM Tool
	that was entered on the Budget Cost tab for Initiation at level 1. (This will be displayed in the Total column of the Budget Cost tab.)	
Planning & Design Phase Budget	Enter the estimated cost of the Planning & Design Phase for this project. This is the same number that was entered on the Budget Cost tab for Initiation at level 1. (This will be displayed in the Total column of the Budget Cost tab.)	Project Info tab, Planning & Design Phase Budget
For this fiscal year, are funds currently budgeted for this project?	Indicate whether this project is funded for this fiscal year by selecting "Yes" or "No".	Project Info tab, Budget Information Section
For Fiscal Year, If Yes, please reference the application budget codes and fund codes. If no, what is your plan to secure funding?	Type in the budget codes and fund codes that are associated with this project. If funds are not currently budgeted for this project explain how they will be obtained (attach a document on Document Management tab if necessary).	Project Info tab, Budget Information Section
For the total scope of the project, are funds currently budgeted?	Indicate whether the funds are budgeted for the entire project by selecting "Yes" or "No".	Project Info tab, Budget Information Section
For Total Scope, If yes, please reference the application budget codes and funds. If no, what is your plan to secure funding?	Type in the budget codes and fund codes that are associated with this project. If funds are not currently budgeted for this project explain how they will be obtained (attach a document on Document Management tab if necessary).	Project Info tab, Budget Information Section
Expansion Budget Request	Indicate whether this is an expansion budget request by selecting "Yes" or" No".	Project Info tab, Budget Information Section
New Expansion Budget $ required in Year 1	If this is an expansion budget request, indicate whether the funds are required in year 1 by selecting "Yes" or "No".	Project Info tab, Budget Information Section
New Expansion Budget $ required in Year 2	If this is an expansion budget request, indicate whether the funds are required in year 2 by selecting "Yes" or "No".	Project Info tab, Budget Information Section
Select the Common Shared technical Infrastructure and Services	Using the drop down list, select all applicable services that will be used in the implementation of this system. Refer to the State CIO website for addition insights as to the purpose and intent of Common Shared Technical Infrastructure and	Project Info tab, Enterprise Architecture Questionnaire

PPM Workflow Phase 1: Project Initiation
Initiation Exit Criteria and Planning and Design Entrance Criteria
SCIO Required

Required Data	Instructions	Location in PPM Tool
	Technical Services. Refer to the ITS website for a more complete description of listed services.	
Will this project replace or enhance and existing system?	Specify whether the purpose of this project is to replace or enhance all or a portion of an existing production system by selecting "Y" or "N".	Project Info tab, Enterprise Architecture Questionnaire
Will the project include security enhancements for an existing system?	Specify whether all or part of the purpose of this project is to improve the security of an existing system by selecting "Y" or "N".	Project Info tab, Enterprise Architecture Questionnaire
Which clients will access this system via the internet?	Using the drop down list, select the type of users that may access this system via the internet from their office, at home (e.g. telecommuting), or from remote locations (e.g. mobile workers). Citizens may access the system from any location. Businesses (i.e. employees of businesses) may also access systems via the Internet in the certain cases (e.g. established extranet business relations). If any of these cases (or similar situations are true), then the appropriate values should be selected.	Project Info tab, Enterprise Architecture Questionnaire
Which clients will require login functionality?	Using the drop down list select the type of login access required for internet access.	Project Info tab, Enterprise Architecture Questionnaire
Is the system required to comply with federal or state FERPA privacy laws?	Using the drop down list choose the state and/or federal regulations with which this project must comply. Ex: Health Information Portability and Accountability Act (HIPAA) and the Family Education Rights and Privacy Act (FERPA).	Project Info tab, Enterprise Architecture Questionnaire
Will this system interface with State Business Infrastructure Systems?	Indicate whether Interfacing with the State Business Infrastructure Systems is a critical component of any system being implemented by selecting "Y" or "N".	Project Info tab, Enterprise Architecture Questionnaire
Which entities will this system integrate with?	Using the drop down list, select all entities that will need integration to this system. Ex: May be within an agency, inter-agency, inter-governmental, or government to business.	Project Info tab, Enterprise Architecture Questionnaire
Which staffing approach will be utilized to deliver this system?	Using the drop down list, select all staffing approaches that will be used to deliver this system.	Project Info tab, Enterprise Architecture Questionnaire
How will the functionality for this system be	Using the drop down list, select the method with which this system will be	Project Info tab, Enterprise Architecture Questionnaire

Required Data	Instructions	Location in PPM Tool
delivered?	delivered. Incremental implementation of a system is most often the best method to deliver system functionality. However; some systems must be implemented holistically. Ex: At the beginning of a fiscal year.	
What Pilot approach will be utilized prior to rollout of this system?	If this is a pilot project, use the drop down list to choose the Pilot Approach. If this is not a Pilot project, please select NA. Proof of Concept – Software written to gather requirements, prove or test a technology, language, environment, or approach. A proof of concept should not be implemented as a production system. Prototype – A small working version of a proposed system used to gather requirements, validate requirements, or demonstrate system functionality. Pilot – An approach designed to evaluate a preliminary version of a system in a simulated production environment. Limited Production – A production system is rolled out to a predetermined subset of users and proven to perform as expected. Not Applicable – No pre-production rollout activities will be conducted.	Project Info tab, Enterprise Architecture Questionnaire
Project Manager Interview (Completed by EPMO)	To be completed by EPMO	Project Info tab, Project Manager Interview (Completed by EPMO)
Proposed Budget - Level 1 Budget Cost Tab	Enter the budget at level 1 for Gate 1. The Budget should include 5 years of O & M cost. For additional information on budget codes and cost breakdown please seek guidance from OSBM.	Budget Cost tab, Level 1
Financial Benefits - Level 1 Benefit Tab	Enter the Benefits dollars at level 1.	Benefits tab - Level 1
Alternative Analysis if over $10M investment cost	This is only to be completed if the TCO is > $10M. The forms can be found on the EPMO Website under forms and must be attached to the Document Management tab.	Project Info tab, Alternative Analysis if over $10M investment cost
Business Driver Impact Statements - Strategic Impact Tab	Tab includes questions on Grow Self Service, Ensure Legal and Regulatory Compliance, Revenue Generation, Cost savings (Net), Unified Services.	Strategic Impact Tab, answer all questions
Summary Risk Profile - Risk Tab	Tab includes questions on Project Management Risk, Technology Risk, Organization Risk, Business / Program Impact Risk, and Consequence of Failure Risk.	Risk Tab, answer all questions

PPM Workflow Phase 1: Project Initiation
Initiation Exit Criteria and Planning and Design Entrance Criteria
SCIO Required

Required Data	Instructions	Location in PPM Tool
Procurement Plan	Procurement Plan template	Attach to Document Management tab
Planning & Design Phase Milestones and Key Project Deliverables	Enter the name and the planned end date for Initiation Phase and Planning & Design Phase Milestones and Key Project Deliverables that are known at the time of Initiation.	Schedule tab Planning & Design Phase Milestones and Key Project Deliverables
Planning & Design Phase Staffing Plan	Planning & Design Phase Staffing Plan template	Attach to Document Management tab

PPM Workflow Phase 2: Planning and Design
Planning and Design Exit Criteria and Execution and Build Entrance Criteria
SCIO Required

Required Data	Instructions	Location in PPM Tool
Updated Roles/Responsibilities	List individuals and groups involved in the project along with their roles. If you have created an Org Chart, please attach it to the Document Management tab and reference the document here.	Project Info tab, Project Organization and Roles
Updated High Level Assumptions / Constraints	List any Assumptions and Constraints that may affect the project.	Project Info tab, High Level Assumptions / Constraints
Updated Key Dependencies external to the project	List any dependencies external to this project that will have a direct impact to the cost, schedule or resources of this project. Is the success of this project dependent upon delivery of some product or service that is outside the control of the project team? Is any other project depending upon the timely delivery of a product or service from this project? If yes, list them here.	Project Info tab, Key Dependencies external to the project
Significant Issues /Risks	If any issue has been opened by any statewide approver, you must enter a corrective action plan on the resolution description section prior to gate approval. A suggested best practice is to update the resolution in the following format: MM/DD/YY, Initials or Name by the person providing the update.	Issues and Risks tab
Project Schedule / Milestones	Enter the Milestone Name. Use the same Milestone name you used in your MS Project Plan which identifies your WBS. Enter the planned end date for the Milestone. If the planned date of the Milestone changes, enter the new forecast date of the Milestone.	Schedule tab, Planning & Design Phase Milestones and Key Project Deliverables
Budget Cost	Enter the budget at level 4 for Gate 2. The Budget should include 5 years of O & M cost. For additional information on budget codes and cost breakdown please seek guidance from OSBM. NOTE: The PPM Tool does not recognize zeroes and marks the field in error. Once you have completed entering all of your budget data, go to the far right column. For any field in the last column that contains a zero, enter a zero. This will correct the error.	Budget Cost tab, Level 4

Required Data	Instructions	Location in PPM Tool
Financial Benefits	When the project moves to the Planning & Design Phase, the PM will need to show the Benefits at level 2. For additional information on benefits please seek guidance from OSBM. The benefits can be cost avoidance or intangible cost.	Benefits tab, level 2, Benefits Cost Center
Preliminary System Design Document	Review the document "Technical Architecture System Design" and complete the required sections as indicated in the document. Submit the document to ETS prior to submitting for the gate approval to allow ETS ample time to review.	Project Info tab, Preliminary System Design Document
Plan v. Actuals	Enter actual costs monthly on the cost tracking tab.	Cost Tracking tab
Updated Business Case	Update the fields if the data has changed since Gate 1 approval was completed.	Project Info tab,
Staffing Plan	The Staffing Plan must show the planned hours and planned cost by month per phase. Each month, the Staffing Plan should be updated with the actual hours and cost expended for the month.	Attach to Document Management Tab
Approved Business Requirements Document	The Business Requirements Document must be approved by the project sponsor.	Attach to Document Management Tab
Update Budget Information Section and Update Security Questions	Update the fields if the data has changed since Gate 1 approval was completed. See Phase 1 Section of the User Guide for detailed field descriptions.	Project Info tab, Budget Information Section, Security Section

PPM Workflow Phase 2: Planning and Design
Planning and Design Exit Criteria and Execution and Build Entrance Criteria
SCIO Required

Required Data	Instructions	Location in PPM Tool
Monthly Status Reports Current	Status reports must be current to receive gate approval. For instructions on completing Status Reports, see the Status Report training slides in the NCHELP section of the PPM tool at NCHELP\Training Material\Monthly Status Report Training. Project Status Reporting Process and Status Reporting FAQs documents are also available on the EPMO website.	Status tab

Agency Document Checklist	Instructions	Location in PPM Tool
Project Plan	Software Project Management Plan template	Attach to Document Management tab
Communication Plan	Communication Plan template	Attach to Document Management tab
Change Mgmt Plan	Change Management Plan template	Attach to Document Management tab
Configuration Mgmt Plan	Configuration Management Plan template	Attach to Document Management tab
Project Test Plan	Project Test Plan template	Attach to Document Management tab
Acceptance Criteria	Acceptance Criteria template	Attach to Document Management tab
Quality Assurance Plan	Quality Assurance Plan template	Attach to Document Management tab
Statement of Work	Statement of Work (SOW) template	Attach to Document Management tab
Work Breakdown Structure (WBS)	Work Breakdown Structure (WBS)	Attach to Document Management tab
Updated Procurement Plan	Updated Procurement Plan template. The draft Procurement Plan is required for gate 1 Approval.	Attach to Document Management tab
Training Plan	Training Plan (no template available)	Attach to Document Management tab
Deployment / Rollout Plan	Deployment / Rollout Plan template	Attach to Document Management tab
Risk Management Plan	Risk Management Plan template	Attach to Document Management tab

PPM Workflow Phase 3: Execution and Build Entrance
Execution and Build Entrance Exit Criteria and Implementation Entrance Criteria
SCIO Required

Required Data	Instructions	Location in PPM Tool
Updated Roles/Responsibilities	List individuals and groups involved in the project along with their roles. Update if the data has changed since Gate 1 approval was completed.	Project Info tab, Project Organization and Roles
Updated High Level Assumptions / Constraints	List any Assumptions and Constraints that may affect the project. Update if the data has changed since Gate 1 approval was completed.	Project Info tab, High Level Assumptions / Constraints
Updated Key Dependencies external to the project	List any dependencies external to this project that will have a direct impact to the cost, schedule or resources of this project. Update if the data has changed since Gate 1 approval was completed.	Project Info tab, Key Dependencies external to the project
Updated Significant Issues /Risks	If any issue has been opened by any statewide approver, you must enter a corrective action plan on the resolution description section prior to gate approval. A suggested best practice is to update the resolution in the following format: MM/DD/YY, Initials or Name by the person providing the update.	Issues and Risks tab
Updated Project Schedule / Milestones	Enter the Milestone Name. Use the same Milestone name you used in your MS Project Plan which identifies your WBS. Enter the planned end date for the Milestone. If the planned date of the Milestone changes, enter the new forecast date of the Milestone.	Schedule tab, Planning & Design Phase Milestones and Key Project Deliverables
Updated Budget Cost	The Budget should include 5 years of O & M cost. For additional information on budget codes and cost breakdown please seek guidance from OSBM. NOTE: The PPM Tool does not recognize zeroes and marks the field in error. Once you have completed entering all of your budget data, go to the far right column. For any field in the last column that contains a zero, enter a zero. This will correct the error.	Budget Cost tab, Level 4
Updated Financial Benefits	When the project moves to the Planning & Design Phase, the PM will need to show the Benefits at level 2. For additional information on benefits please seek guidance from OSBM. The benefits can be cost avoidance or intangible cost.	Benefits tab, level 2, Benefits Cost Center

PPM Workflow Phase 3: Execution and Build Entrance
Execution and Build Entrance Exit Criteria and Implementation Entrance Criteria
SCIO Required

Required Data	Instructions	Location in PPM Tool
Updated Detailed System Design Document	The System Design template named "Technical Architecture System Design" can be found on the ETS Website and in the template section of the PPM Tool. Review the document and complete the required sections as indicated in the document. Submit the document to ETS prior to submitting for the gate approval to allow ETS appropriate time to review.	Project Info tab, Preliminary System Design Document
Updated Business Case	Update the fields if the data has changed since Gate 1 approval was completed.	Project Info tab,
Plan v. Actuals	Enter actual costs monthly on the cost tracking tab.	Cost Tracking tab
Update Budget Information Section and Update Security Questions	Update the fields if the data has changed since Gate 1 approval was completed. See Phase 1 Section of the User Guide for detailed field descriptions.	Project Info tab, Budget Information Section, Security Section
Monthly Status Reports Current	Status reports must be current to receive gate approval. For instructions on completing Status Reports, see the Status Report training slides in the NCHELP section of the PPM tool at NCHELP\Training Material\Monthly Status Report Training. Project Status Reporting Process and Status Reporting FAQs documents are also available on the EPMO website.	Status tab
Update Staffing Plan	The Staffing Plan must show the planned hours and planned cost by month per phase. Each month, the Staffing Plan should be updated with the actual hours and cost expended for the month.	Attach to Document Management Tab

PPM Workflow Phase 3: Execution and Build Entrance
Execution and Build Entrance Exit Criteria and Implementation Entrance Criteria
SCIO Required

Agency Document Checklist	Instructions	Location in PPM Tool
Disaster Recovery/Business Continuity Plan		Attach to Document Management tab
Test and Acceptance Results	Acceptance Form template	Attach to Document Management tab
Pilot Results	Summarize Pilot Results	Attach to Document Management tab
Operations and Maintenance Transition Plan	Operations and Maintenance Transition Plan template	Attach to Document Management tab

PPM Workflow Phase 4: Implementation
Implementation Exit Criteria and Closeout Entrance Criteria
SCIO Required

Required Data	Instructions	Location in PPM Tool
Plan v. Actuals	Enter actual costs monthly on the cost tracking tab.	Cost Tracking tab
Updated Significant Issues /Risks	If any issue has been opened by any statewide approver, you must enter a corrective action plan on the resolution description section prior to gate approval. A suggested best practice is to update the resolution in the following format: MM/DD/YY, Initials or Name by the person providing the update.	Issues and Risks tab
Update Budget Information Section and Update Security Questions	Update the fields if the data has changed since Gate 1 approval was completed. See Phase 1 Section of the User Guide for detailed field descriptions.	Project Info tab, Budget Information Section, Security Section
Monthly Status Reports Current	Monthly Status reports must be current. On the last Monthly Status Report in the Implementation phase, enter the projected number of hours required for project closeout on the Status tab in the Closeout section. For instructions on completing Status Reports, see the Status Report training slides in the NCHELP section of the PPM tool at NCHELP\Training Material\Monthly Status Report Training. Project Status Reporting Process and Status Reporting FAQs documents are also available on the EPMO website.	Status tab
Update Agency Applications Portfolio (APM) as required	To enter/update an application in the APM portfolio, see the APM Basic Training document in the PPM Tool at NCHELP/Application Portfolio Management/Training Material/APM Basic Training.	APM section of the PPM Tool

PPM Workflow Phase 5: Closeout
EPMO QA Required

Required Data	Instructions	Location in PPM Tool
Lessons Learned	Complete Lessons Learned Document template	Attach to Document Management tab
Closeout Information	Complete Closeout Document.	Attach to Document Management tab
	NOTE: All Contributors must sign off on the project before it moves to EPMO QA for closeout review.	